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美中合作科学项目

Program Announcement

ORIGINAL

COMPLETED

United States

China

Cooperative
Science Program



NATIONAL SCIENCE FOUNDATION
Division of International Programs

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NATIONAL SCIENCE FOUNDATION DIVISION OF INTERNATIONAL PROGRAMS

U.S.-CHINA COOPERATIVE SCIENCE PROGRAM: PROGRAM ANNOUNCEMENT AND GUIDELINES FOR PREPARATION OF PROPOSALS

BACKGROUND OF THE PROGRAM

The U.S.-China Cooperative Science Program was established on December 10, 1980 through the signing of the *Protocol on Cooperation in the Basic Sciences* by the National Science Foundation (NSF), and by the Chinese Academy of Sciences (CAS) and the Chinese Academy of Social Sciences (CASS). This Protocol is in accordance with the overall *Agreement Between the Government of the United States of America and the Government of the People's Republic of China on Cooperation in Science and Technology*, signed in Washington, D.C. on January 31, 1979.

The NSF-CAS-CASS Protocol is implemented under the overall guidance of the U.S.-PRC Joint Commission on Scientific and Technological Cooperation established by the 1979 Science and Technology Agreement. All activities under the Protocol are closely coordinated by a U.S.-China Joint Working Group for the Basic Sciences. The U.S. members of the Group represent the NSF. The Chinese members include representatives of the CAS, the CASS, and the Ministry of Education (MOE). This multiple representation is intended to facilitate participation in the Program by scientists from Chinese institutions of higher education as well as scientists from the two Academies. The Joint Working Group meets annually.

OBJECTIVES OF THE PROGRAM

The purpose of the U.S.-China Cooperative Science Program is to promote opportunities for cooperation in basic science between scientists of the United States and of the People's Republic of China on projects of mutual interest and benefit to both countries. The underlying rationale of the Program is that scientific cooperation on the basis of equality, reciprocity, and mutual benefit can strengthen the scientific capabilities of both countries, advance world scientific knowledge, promote understanding between the United States and China, establish enduring relationships between American and Chinese scientists and institutions, and, in general, contribute to broad national goals on both sides.

SCOPE OF THE PROGRAM:

Types and fields of cooperation.

Currently the Program supports two principal types of cooperative activity:

- Joint research projects*, of up to two years' duration. Visits under such projects are normally under six months'

duration and are generally limited to one visit in each direction within one year.

- Jointly organized seminars* fostering opportunities for U.S. and Chinese scientists to discuss possible future research collaboration. Because the number of seminars supported by the Program is small, proposals in areas already covered by seminars in recent years are generally not considered.

This Announcement includes guidelines for the preparation of proposals in both categories. *Support for both types of cooperative activities is currently limited to certain fields of science* agreed to annually by the Joint Working Group. Current information on the scope of the Program may be obtained from the program staff by calling (202) 357-7393.

KEY FEATURES OF THE PROGRAM

All proposals submitted under the U.S.-China Cooperative Science Program must be based on cooperation between U.S. and Chinese scientists and should be of substantial scientific benefit to both sides. Plans for all joint activities should be developed *directly* between the interested U.S. and Chinese scientists, and well-coordinated (but not necessarily identical) proposals should be submitted *concurrently* to NSF's Division of International Programs (INT) and to the relevant corresponding institution in the PRC (CAS, CASS or MOE). Proposals are assessed independently by the executive agencies in the United States and China and require joint approval by both sides to be included under the Program. These guidelines are for the preparation of the U.S. proposal.

Basic financial arrangements for the Program are as follows. The NSF provides support for the international transportation of U.S. scientists to the seminar or primary research site in China, for the maintenance of Chinese scientists in the United States, and for travel costs within the United States of Chinese scientists for activities and visits *directly* related to the research project or seminar. The relevant Chinese agency provides international travel expenses of Chinese scientists to the seminar or primary research site in the United States, for the maintenance costs of U.S. scientists in China, and for the costs of travel within China of U.S. scientists for activities and visits *directly* related to the research project or seminar. The cost of research activities conducted in the United States is expected to be borne principally by the NSF, and the cost of research activities conducted in China by the relevant Chinese agency. Across the total scope of the Program, the total number of man-months spent by scientists in each country is expected to

remain approximately in balance, though this balance need not occur *within* a project.

Except as modified in these guidelines, standard NSF guidelines on eligibility, proposal preparation, proposal submission, evaluation, NSF grant awards, and declinations and withdrawals contained in *Grants for Scientific and Engineering Research* (NSF 81-79, or updated editions) are applicable. This publication is available on request from the Forms and Publications Unit, NSF, 1800 G Street, N.W., Washington, D.C. 20550.

Programs described in this publication are in category 47.053 (Scientific, Technological, and International Affairs) in the *Catalog of Federal Domestic Assistance*.

The attention of applicants is called to the provisions of the Annex to the December 1980 Protocol dealing with the subject of patents and copyrights. Activities under the Protocol are subject to this Annex and rights to patents and copyrights that arise under the Protocol might be affected by this Annex. Applicants that are concerned about the potential disposition of patent rights and copyrights should obtain a copy of the Annex by contacting the U.S. China Cooperative Science Program, Division of International Programs, National Science Foundation, Washington, D.C. 20550.

ELIGIBILITY

Only those proposals which are in scientific fields within the current scope of the Program are eligible for consideration. (See "Scope of the Program" above.)

In general, proposals may be submitted by U.S. academic institutions, by U.S. non-profit, non-academic research institutions, or by unaffiliated U.S. scientists and engineers. The principal investigator must be a U.S. scientist with a doctoral degree or equivalent professional experience. A U.S. scientist is any recognized member of the U.S. scientific community irrespective of nationality, who performs work in the United States. It is the policy of the NSF to encourage minorities and women to compete in this Program.

GUIDELINES FOR PREPARATION OF PROPOSALS: COOPERATIVE RESEARCH PROJECTS

The First Step

The U.S. and Chinese principal investigators must reach agreement on:

- the substance and format of the proposed project;
- starting date and duration of the project (up to two years);
- participating staff;
- division of work: where it will be performed, when and by whom (Visits are generally limited to one visit in each direction within one year. The duration of visits normally will not exceed six months.);

EVALUATION CRITERIA AND SELECTION PROCEDURE

Proposal evaluation on the U.S. side will involve the standard peer review procedures of the Foundation with reference to the following criteria:

- prospective contribution to scientific knowledge;
- competence and complementarity of the researchers (or meeting participants), U.S. and Chinese, in the proposed area of cooperative activity;
- appropriateness of the design of the project (approach, research plan or seminar agenda, division of labor);
- prospective benefit from international cooperation.

Evaluation procedures and criteria of counterpart proposals on the Chinese side may be different from those of NSF.

After the process of independent evaluation of the proposals by the cooperating agencies is completed, program managers on both sides discuss and reach joint agreement on which proposals should be supported. Such joint decisions may take into consideration balance among fields included in the scope of the Program, balance among the institutions with which the principal investigators in both countries are affiliated, and the availability of funds. All projects require joint approval by both sides.

SUBMISSION

Proposals for cooperative activities may be submitted at any time. The process of proposal intake, review, joint discussion and approval and final award normally requires six to nine months.

Telephone consultation and/or submission of preliminary proposals to NSF for comment and guidance before conclusion of understandings with foreign colleagues is encouraged. Program staff can be reached at 202/357-7393. Offices are located at 1800 G Street, N.W., Washington, D.C. Correspondence should be addressed to:

U.S.-China Cooperative Science Program
Division of International Programs
National Science Foundation
Washington, DC 20550

- planned use of research facilities in the United States and China.

Allowable Costs

Maximum allowable costs are as follows:

- international round-trip air transportation by U.S. carrier at the lowest available rate and by most direct routing from the airport nearest the scientist's home institution to the airport nearest the primary research site in China for any U.S. scientists visiting China;
- related ground transportation up to \$40 per person;

- up to 35 kg. excess baggage and 40 kg. air freight per person for stays in China of one month or longer;
- transportation within the United States for Chinese researchers for travel *directly* related to the research project, at the lowest available rate and by the most direct routing;
- salaries for the U.S. scientists during residence in China of longer than one month (Summer salary for faculty members on academic-year appointments may not exceed two-ninths of the regular academic-year salary.);
- per diem costs for Chinese researchers in the United States at standard U.S. Government rates for the first 60 days and at 50% thereafter (Current rates may be requested from the program staff. This item does not include a stipend or salary but supports only the living expenses of visiting scientists.);
- instrumentation, equipment, materials, supplies and computer costs not to exceed, in general, \$3,000 per year;
- publication costs up to \$2,000;
- standard indirect costs at negotiated on-campus or off-campus overhead rates, depending on where various phases of the project are carried out.

For U.S. scientists, living expenses in China and cost of in-China travel directly related to the research project will be covered by the Chinese side.

No support will be provided for dependents. (Accompaniment of researchers by dependents is normally not allowed.)

Proposal Format

The NSF publication, "Grants for Scientific and Engineering Research" (NSF 81-79 or updated editions), provides guidelines on the overall NSF proposal process. A complete proposal should include all the information needed for a definitive evaluation and should consist of the following parts, assembled in sequence:

1. *Cover sheet.* Essential elements are: proposal title; proposed effective date and duration; proposed amount; name and title of U.S. principal investigator and necessary endorsement signatures from the applicant's home institution; name, title and affiliation of the collaborating Chinese scientist. The project title should be brief, scientifically meaningful, intelligible to the nonscientist, and suitable for use in the public press. (Use the format provided on page 7).

2. *Table of contents.*

3. *Abstract.* This should be a self-contained summary of approximately 200 words which gives the research objectives, scientific methods to be employed, and the significance of the proposed research to the advancement of scientific knowledge. Insofar as possible, it should avoid technical jargon and abbreviations and be understandable by an intelligent layman. The abstract should briefly summarize the rationale for international cooperation. Applicants should use NSF Form 4 "Project Summary" (see page 8).

4. *Research description.* This should be a comprehensive description of the work to be undertaken. Include informa-

tion on the significance of the work; its relation to the present state of knowledge in the field, to previous work done on this project and related work in progress elsewhere; methodology; details of the U.S.-China cooperative aspects; and, if support is being requested to visit China, the scientific justification and specific objectives of the visit(s). A detailed work plan should be included.

In addition, the research description should contain a fully developed justification for the international cooperation which addresses the following questions:

- Why with China?
- Why with the proposed Chinese institution?
- What are the special expertise and qualifications of the Chinese collaborator(s)?
- If applicable, what facilities are available in China and why are they preferable to those at comparable U.S. institutions?
- If applicable, how will the proposed cooperation complement or strengthen research conducted under the U.S. principal investigator's existing domestic research award(s)?

5. *Expected scientific benefits* to the applicant and to U.S. and Chinese science. This section should also include an assessment of new knowledge and, if appropriate, of any applications and practical results that might be expected.

6. *Information on previous professional visits to China and past cooperation with the Chinese principal investigator.*

[The text for items 1 through 6 should not exceed 15 pages.]

7. *Statement of other support.* Besides the proposed project, all current research to which the principal investigator(s) and other senior personnel have committed a portion of their time must be listed whether or not their salaries are included in the budgets of the various projects. The number of man-months or percentage of effort to be devoted to the projects should be stated regardless of source of support. Similar information must be provided also for all proposals that are being considered by or will be submitted soon to other possible sponsors, including NSF.

If the submitted project has been funded previously by a source other than NSF, the information requested in the paragraph above should be furnished for the immediately antecedent funding period. If the proposal is being submitted to other possible sponsors, all should be listed. Concurrent submission of a proposal to other organizations will not prejudice its review by NSF.

8. *Budget.* The budget should estimate the allowable costs outlined in the "Allowable Costs" section of these guidelines (see page 2). Salaries for U.S. participants during stays in China in excess of one month can be provided during summer months (for scientists on academic appointments), sabbatical or other leave under the general terms outlined under "Salaries and Wages" in "Grants for Scientific and Engineering Research" (NSF 81-79, page 4). If a budget is limited to international travel costs, NSF can

consider a fixed amount of \$200 for the proposer's home institution in lieu of indirect costs, to help defray administrative expenses. Applicants should use NSF Form 1030 "Summary Proposal Budget" (see page 9). Per diem expenses for visiting Chinese scientists should be listed on line F of Form 1030. A detailed explanation and justification of each budget line item should follow the budget form.

9. *Biographical information and list of relevant publications* for both the U.S. and Chinese principal investigators.

10. *Appendices*. These may be included if needed to present additional information in support of the application. However, all major elements should be covered in the body of the proposal.

Submission of Proposal

Ten copies of the proposal should be submitted through normal institutional channels to:

National Science Foundation
Data Support Services Section
(U.S.-China Cooperative Science Program)
Washington, DC 20550

GUIDELINES FOR PREPARATION OF PROPOSALS: JOINT SEMINARS

The First Step

The U.S. and Chinese organizers must reach agreement on:

- the substance and format of the seminar;
- duration of the seminar (normally not more than five days);
- list of suggested participants (See below for limits to the number of participants.);
- preferred and alternate dates and locations;
- related activities, such as tours by visiting scientists to research sites in the host country which are *directly* relevant to the subject of the seminar, for up to two weeks beyond the duration of the meeting. Visits in the United States should include a geographically representative range of appropriate sites. The visiting scientists are encouraged to give lectures during visits to host country institutions.

This Program does not support the accompaniment of dependents of scientists on visits to China or the United States.

Allowable Costs

A. *Seminars held in the United States*: The NSF will consider requests for support of the following costs:

- domestic transportation for up to ten U.S. participants: round trip air transportation from home institution to conference site, by most direct routing and at lowest available rate plus local transportation up to \$40 per person, including transportation to and from airports (*The cost of car rental is not allowable.*);

In addition, two advance copies of the proposal should be sent directly to the Program.

Reporting Requirements

The U.S. principal investigator in a cooperative research project must submit to NSF a final project report (NSF Form 98A, see page 13) together with a final technical report within three months after the completion of the project. The final technical report should be written, as far as possible, in collaboration with the Chinese principal investigator. The final technical report should include two copies of published papers or other materials. A multi-year award also requires an annual technical progress report.

In addition, the Program would appreciate being informed of any unusual or interesting accomplishments that might assist the NSF in its responsibility to explain, justify and report on the supported projects to the Congress, other agencies and the public. The Program may also ask U.S. participants for specific evaluative information designed to improve NSF's international cooperative programs.

- per diem for up to ten principal U.S. participants at standard U. S. Government rates for the period of the seminar;
- per diem for up to ten Chinese participants at standard U.S. Government rates for the period of the seminar and related site visits of up to two weeks;
- air transportation for up to ten Chinese participants, at the lowest available rate and most direct routing for any related site visits within the United States, and related ground transportation (*The cost of car rental is not allowable.*);
- administrative expenses for the U.S. organizer of up to \$1,000 (including cost of the conference site);
- professional interpreting services, if required.

The NSF will not support the following:

- transportation and per diem for any additional participants (above ten from each side) or for third country participants;
- indirect costs;
- international transportation between China and the seminar site for Chinese participants (This expense is covered by the Chinese side.).

B. *Seminars held in China*: The NSF will consider requests for support of the following costs:

- international round-trip air transportation by U.S. carrier, at the lowest available rate and by the most direct routing from the airport nearest the scientist's home institution to the seminar site in China for up to ten U.S. participants, and related ground transportation to and from airport up to \$40 per person;

—organizational expenses for the U.S. coordinator of up to \$300.

NSF will not provide indirect costs.

Maintenance costs in China for the duration of the seminar and up to two weeks of related site visits for U.S. participants will be covered by the Chinese side.

Preparation of Proposals

Proposals for seminars are limited to 15 pages and should include the following parts in sequence:

1. *Cover sheet.* Include seminar title; dates (preferred and alternate); first and second choice sites (one in each country); name, title, affiliation, address, phone number and signature of the U.S. organizer; name, title and affiliation of the Chinese organizer. The seminar title should be brief, scientifically meaningful, intelligible to the nonscientist and suitable for use in the public press. Meetings can range from three to seven days but are normally five days. About one year should be allowed between the time of proposal submission and the proposed date of the seminar. In order to maintain a balance in the number of meetings held in each country, NSF and its counterparts in China may have to determine the final site selection. The proposal should therefore include an alternative site in the other country. If there are compelling reasons for holding the meeting in one country rather than the other, these should be noted in the proposal.

2. Table of contents.

3. *Abstract.* This should be a self-contained summary of approximately 200 words which gives the objective and scope of the meeting. It should be scientifically meaningful but avoid technical jargon and abbreviations so that it is intelligible to non-scientists. Applicants should use NSF Form 4 "Project Summary" (see page 8).

4. *Content of meeting and its scientific justification.* The proposal should include a detailed description of the proposed meeting and a thorough justification for holding it and supporting it on a bilateral basis. The state of science in both countries should be discussed, and the benefits to both countries expected from the meeting should be clearly indicated. The timeliness of the proposed meeting should be explicitly discussed, particularly in relation to any international meetings on the proposed topic and related topics which have been held or are being planned. The proposal should also indicate how the meeting will foster opportunities for future research collaboration between scientists of both countries.

5. *Organization of the meeting and related site visits.* A tentative agenda for the meeting in half-day blocks should be provided. A tentative itinerary for any proposed related site visits (including designation of a local host at each site) should also be included if applicable. For seminars in the United States, the U.S. coordinator is generally expected to work closely with NSF Program staff in finalizing the planned site visit itinerary for the Chinese participants.

6. *Proposed participants.* The U.S. and Chinese co-organizers are responsible for seeking final approval of participants by both sides. U.S. participants should be geographically and institutionally representative and be nominated for their achievements in and knowledge of the field of the seminar. The participation of two or more individuals from a single institution in the United States can be supported only with special justification. The number of participants from the hosting and visiting sides supported by NSF cannot exceed ten from each. The proposal should provide a tentative list of participants (with titles and mailing addresses); biographical data; a summary of relevant qualifications for each participant; and the expected contribution of each participant to the meeting. The U.S. organizer must have a tentative agreement to attend from each of the U.S. participants listed. Each proposed U.S. participant should also be aware that the Program may require changes in the make-up of the group of participants. Support cannot be guaranteed for an individual by virtue of his/her nomination in the proposal.

7. *Dissemination of information.* The proposal must describe the plans to disseminate the information resulting from the meeting.

8. *Budget.* Costs must be estimated on the basis of first choice of sites. The budget should be consistent with allowable costs outlined in the "Allowable Costs" section above. Standard U.S. Government per-diem rates vary from site to site and are subject to frequent change. The proposer should consult with Program staff regarding rates at the time of proposal preparation. Program staff will also provide estimates for local transportation costs for Chinese visitors during site visits related to a seminar. *Registration fees and honoraria are not allowable costs.*

NSF support for seminars under this Program is generally provided through a Washington-based travel agency and consists of direct issuance of an airline ticket, per diem and ground transportation expenses on an individual basis to each participant. Costs related to the organization of the seminar are provided directly to the U.S. organizer. Should it become necessary for NSF to support a proposed meeting by an NSF institutional grant rather than the travel agency mechanism, institutional submission will be requested of the U.S. organizer at that time.

9. *Biographical information and list of relevant publications* for the U.S. and Chinese organizers should be provided.

10. *Appendices.* Relevant material in support of the proposed activity may be appended.

Submission of Proposal

Ten copies of the proposal should be submitted directly to:

National Science Foundation
Data Support Services Section
(U.S.-China Cooperative Science Program)
Washington, D.C. 20550

Proposals may be submitted at any time. The requested effective date for the project should take proposal processing time (normally six to nine months) into account.

Pre- and Post-Approval Procedures

If the seminar is approved, the U.S. organizer will be asked to provide a final list of U.S. participants and observers, specifying which participants are to receive support from NSF. The U.S. organizer must notify NSF of any changes in the list of participants and observers as they occur; however, no changes will be allowed later than four weeks preceding the seminar. At least two weeks prior to the meeting, the U.S. organizer is required to submit a final agenda to NSF.

Reporting Requirements

At the conclusion of the approved meeting, the U.S. organizer will be responsible for submitting a report to the U.S.-China Program which provides a technical account and critical evaluation of the meeting. The report should include: a full description of scientific presentations and information exchange; comments on the particular value and impact of the meeting on the direction of further work in the United States and in China, and other benefits and accomplishments; copies of papers presented or abstracts of presentations if actual papers do not exist. The report also should include joint recommendations by the co-organizers concerning areas and prospects of possible future research collaboration.

APPENDIX I

PROPOSAL TO THE NATIONAL SCIENCE FOUNDATION
Cover Page

FOR CONSIDERATION BY NSF ORGANIZATIONAL UNIT (Indicate the most specific unit known, i.e. program, division, etc.)		IS THIS PROPOSAL BEING SUBMITTED TO ANOTHER FEDERAL AGENCY? Yes ____ No ____ ; IF YES, LIST ACRONYM(S):									
PROGRAM ANNOUNCEMENT/SOLICITATION NO.:		CLOSING DATE (IF ANY):									
NAME OF SUBMITTING ORGANIZATION TO WHICH AWARD SHOULD BE MADE (INCLUDE BRANCH/CAMPUS/OTHER COMPONENTS)											
ADDRESS OF ORGANIZATION (INCLUDE ZIP CODE)											
TITLE OF PROPOSED PROJECT											
REQUESTED AMOUNT	PROPOSED DURATION	DESIRED STARTING DATE									
PI/PD NAME AND SOCIAL SECURITY NO. (SSN)*		PI/PD PHONE NO.									
PI/PD DEPARTMENT		PI/PD ORGANIZATION									
ADDITIONAL PI/PD AND SSN*		ADDITIONAL PI/PD AND SSN*									
ADDITIONAL PI/PD AND SSN*		ADDITIONAL PI/PD AND SSN*									
FOR RENEWAL OR CONTINUING AWARD REQUEST, LIST PREVIOUS AWARD NO.:		SUBMITTING ORGANIZATION IS ____ IS NOT ____ A SMALL BUSINESS CONCERN (see CFR Title 13, Part 121 for definitions).									
*Submission of social security numbers is voluntary and will not affect the organization's eligibility for an award. However, they are an integral part of the NSF information system and assist in processing the proposal. SSN solicited under NSF Act of 1950, as amended. CHECK APPROPRIATE BOX(ES) IF THIS PROPOSAL INCLUDES ANY OF THE ITEMS LISTED BELOW: <table border="0"> <tr> <td>☐ Animal Welfare</td> <td>☐ Human Subjects</td> <td>☐ National Environmental Policy Act</td> </tr> <tr> <td>☐ Endangered Species</td> <td>☐ Marine Mammal Protection</td> <td>☐ Research Involving Recombinant DNA Molecules</td> </tr> <tr> <td>☐ Historical Sites</td> <td>☐ Pollution Control</td> <td>☐ Proprietary and Privileged Information</td> </tr> </table>			☐ Animal Welfare	☐ Human Subjects	☐ National Environmental Policy Act	☐ Endangered Species	☐ Marine Mammal Protection	☐ Research Involving Recombinant DNA Molecules	☐ Historical Sites	☐ Pollution Control	☐ Proprietary and Privileged Information
☐ Animal Welfare	☐ Human Subjects	☐ National Environmental Policy Act									
☐ Endangered Species	☐ Marine Mammal Protection	☐ Research Involving Recombinant DNA Molecules									
☐ Historical Sites	☐ Pollution Control	☐ Proprietary and Privileged Information									
PRINCIPAL INVESTIGATOR/ PROJECT DIRECTOR	AUTHORIZED ORGANIZATIONAL REP.	OTHER ENDORSEMENT (optional)									
NAME	NAME	NAME									
SIGNATURE	SIGNATURE	SIGNATURE									
TITLE	TITLE	TITLE									
DATE	DATE	DATE									

APPENDIX II

NOTICE OF RESEARCH PROJECT
SCIENCE INFORMATION EXCHANGE
SMITHSONIAN INSTITUTION
NATIONAL SCIENCE FOUNDATION

SIE PROJECT NO.

NSF AWARD NO.

PROJECT SUMMARY

FOR NSF USE ONLY

DIRECTORATE/DIVISION	PROGRAM OR SECTION	PROPOSAL NO.	F.Y.
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NAME OF INSTITUTION (INCLUDE BRANCH/CAMPUS AND SCHOOL OR DIVISION)

ADDRESS (INCLUDE DEPARTMENT)

PRINCIPAL INVESTIGATOR(S)

TITLE OF PROJECT

TECHNICAL ABSTRACT (LIMIT TO 22 PICA OR 18 ELITE TYPEWRITTEN LINES)

1. Proposal Folder
2. Program Suspense
3. Division of Grants & Contracts
4. Science Information Exchange
5. Principal Investigator
6. Off. of Govt. & Pub. Progs.

SUMMARY PROPOSAL BUDGET

ORGANIZATION		PROPOSAL NO.		DURATION (MONTHS)	
		AWARD NO.		Proposed	Granted
PRINCIPAL INVESTIGATOR/PROJECT DIRECTOR					
A. SENIOR PERSONNEL: PI/PD, Co PI's, Faculty and Other Senior Associates (List each separately with title; A.6. show number in brackets)		NSF FUNDED PERSON MOS		FUNDS REQUESTED BY PROPOSER	FUNDS GRANTED BY NSF (IF DIFFERENT)
		CAL.	ACAD	SUMR	
1.				\$	\$
2.					
3.					
4.					
5. () OTHERS (LIST INDIVIDUALLY ON BUDGET EXPLANATION PAGE)					
6. () TOTAL SENIOR PERSONNEL (1-5)					
B. OTHER PERSONNEL (SHOW NUMBERS IN BRACKETS)					
1. () POST DOCTORAL ASSOCIATES					
2. () OTHER PROFESSIONALS (TECHNICIAN, PROGRAMMER, ETC.)					
3. () GRADUATE STUDENTS					
4. () UNDERGRADUATE STUDENTS					
5. () SECRETARIAL CLERICAL					
6. () OTHER					
TOTAL SALARIES AND WAGES (A+B)					
C. FRINGE BENEFITS (IF CHARGED AS DIRECT COSTS)					
TOTAL SALARIES, WAGES AND FRINGE BENEFITS (A+B+C)					
D. PERMANENT EQUIPMENT (LIST ITEM AND DOLLAR AMOUNT FOR EACH ITEM EXCEEDING \$1,000; ITEMS OVER \$10,000 REQUIRE CERTIFICATION)					
TOTAL PERMANENT EQUIPMENT					
E. TRAVEL 1. DOMESTIC (INCL. CANADA AND U.S. POSSESSIONS)					
2. FOREIGN					
F. PARTICIPANT SUPPORT COSTS					
1. STIPENDS \$					
2. TRAVEL					
3. SUBSISTENCE					
4. OTHER					
TOTAL PARTICIPANT COSTS					
G. OTHER DIRECT COSTS					
1. MATERIALS AND SUPPLIES					
2. PUBLICATION COSTS/PAGE CHARGES					
3. CONSULTANT SERVICES					
4. COMPUTER (ADPE) SERVICES					
5. SUBCONTRACTS					
6. OTHER					
TOTAL OTHER DIRECT COSTS					
H. TOTAL DIRECT COSTS (A THROUGH G)					
I. INDIRECT COSTS (SPECIFY)					
TOTAL INDIRECT COSTS					
J. TOTAL DIRECT AND INDIRECT COSTS (H + I)					
K. RESIDUAL FUNDS (IF FOR FURTHER SUPPORT OF CURRENT PROJECTS GPM 252 AND 253)					
L. AMOUNT OF THIS REQUEST (J) OR (J MINUS K)				\$	\$
PI/PD TYPED NAME & SIGNATURE*		DATE		FOR NSF USE ONLY	
INST. REP. TYPED NAME & SIGNATURE*		DATE		INDIRECT COST RATE VERIFICATION	
				Date Checked	Date of Rate Sheet
				Initials - DGC	Program

INSTRUCTIONS FOR USE OF SUMMARY PROPOSAL BUDGET (NSF FORM 1030) (10-80)

1. General

- a. Each grant proposal, including requests for supplemental or incremental funding, must contain a Summary Proposal Budget in this format unless a pertinent program guideline specifically provides otherwise.
- b. Copies of NSF Form 1030 and instructions should be reproduced locally as NSF will not supply the form.
- c. A separate form should be completed for each year of support requested. An additional form showing the cumulative budget for the full term requested should be completed for proposals requesting more than one year's support. Identify each year's request (e.g., "First year _____," or "Cumulative Budget," etc.) in the margin at the top right of the form.
- d. Completion of this summary does not eliminate the need to fully document and justify the amounts requested in each category. Such documentation should be provided on additional page(s) immediately following the budget in the proposal and should be identified by line item. The documentation page(s) should be titled "Budget Explanation Page."
- e. Revised budgets must be signed and dated by the authorized organizational representative and principal investigator and submitted in at least the original and two copies.

2. Budget Line Items

A full discussion of the budget and the allowability of selected items of cost is contained in *NSF Grants for Scientific Research* (NSF 78-41), *NSF Grant Policy Manual—GPM* (NSF 77-47), and other NSF program brochures and guidelines. Following is a brief outline of budget documentation requirements by line item. (NOTE: All documentation or justification required on the line items below should be provided on the Budget Explanation Page.)

A., B., and C. Salaries, Wages, and Fringe Benefits (GPM 511). On the Budget Explanation Page, list individually all senior personnel who were grouped under A5, the requested person-months to be funded, and rates of pay.

D. Permanent Equipment (GPM 512 and 204.2). While items exceeding \$500 and 2 years' useful life are defined as permanent equipment, it is only necessary to list item and dollar amount for each item exceeding \$1,000; items over \$10,000 require certification. Fully justify.

E. Travel (GPM 514). Address the type and extent of travel (including consultant travel) and its relation to the project. Itemize by destination and cost and justify travel outside the United States and its possessions, Puerto Rico, and Canada. Include dates of foreign visits or meetings. Fare allowances are limited to round-trip, jet-economy rates.

F. Participant Support Costs (GPM 518). Normally participant support may only be requested under specific science education programs or for grants supporting conferences or symposia. Consult *Grants for Scientific Research* or specific program guidelines.

G. Other Direct Costs.

1. **Materials and Supplies** (GPM 513). Indicate types required and estimate costs.
2. **Publication Costs/Page Charges** (GPM 517). Estimate cost of preparing and publishing project results.
3. **Consultant Services** (GPM 516). Indicate name, daily compensation (limited to \$193/day), and estimated days of service, and justify.
4. **Computer Services** (GPM 515). Include justification based on established computer service rates at the proposing institution. Include computer equipment leasing. Purchase of equipment is included under D.
5. **Subcontracts** (GPM 623). Must be approved in advance. Include a completed budget and justify details.
6. **Other**. Itemize and justify.

I. Indirect Costs (GPM 530). Specify current rate(s) and base(s). Use current rate(s) negotiated with the cognizant Federal negotiating agency. See *GPM* for special policy regarding grants to individuals, travel grants, equipment grants, doctoral dissertation grants, and grants involving participant support costs.

K. Residual Funds (GPM 253). For incremental funding requests on continuing grants, enter the amount estimated to be in excess of 10% at the planned amendment effective date. If less than 10%, indicate: "none." Residual funds should not be reflected in budget categories A-I. A justification for carryover of funds in excess of 10% is required. For standard grants (GPM 252), the total estimated residual amount should be shown.

L. Item L will be the same as Item J unless the Foundation disapproves the carryover of funds. If disapproved, Item L will equal J minus K.

SUMMARY PROPOSAL BUDGET EXPLANATORY REMARKS

The personnel categories listed in Part A and B of the summary are defined as follows:

A. Senior Personnel

- 1.-5.(Co) *Principal Investigator(s)* are individual(s) so designated by the grantee institution.

A *Faculty Associate* (faculty member) is an individual—other than the Principal Investigator—who is considered by the performing institution to be a member of its faculty or who holds an appointment as a faculty member at another institution, and who will participate in the project being supported.

B. Other personnel

1. A *Postdoctoral Associate* is an individual who received a Ph.D., M.D., D.Sc., or equivalent degree less than 5 years ago, who is not a member of the faculty of the performing institution, and who is not reported under Senior Personnel above.
2. *Other Professional* is a person who may or may not hold a doctoral degree or its equivalent, who is considered professional and is not reported as a Principal Investigator, faculty associate, postdoctoral associate, or student. Examples of persons included in this category

are doctoral associates not reported under B1 above, professional technicians, mathematicians, physicians, veterinarians, system experts, computer programmers, and design engineers.

3. A *Graduate Student* (Research assistant) is a part-time or full-time student working on the project in a research capacity who holds at least a bachelor's degree or its equivalent and is enrolled in a degree program leading to an advanced degree.

4. An *Undergraduate Student* is a student who is enrolled in a degree program (part-time or full-time) leading to a bachelor's degree.

- 5.&6. These include persons working on the project in a nonresearch capacity, such as secretaries, clerk-typists, draftsmen, animal caretakers, electricians, and custodial personnel, regardless of whether they hold a degree or are involved in degree work.

Any personnel category for which NSF funds are requested should indicate the number of different persons expected to receive some support from those funds, and, where called for on the budget format, the full-time equivalent (FTE) person-months to the nearest tenth.

APPENDIX IV

Current and Pending Support

The following information should be provided for each investigator and other senior personnel (see p. 6). Failure to provide this information may delay consideration of the proposal.

	A	B	C	D	E*	F
	Supporting Agency	Project Title	Award Amount (or Annual Rate)	Period Covered By Award	Man-Months Or % of Effort Committed To The Project	Location Where Research Is/Will Be Performed
	ACAD.					SUMM.
I. (Name of Principal Investigator)						
A. <i>Current Support</i>						
List—If none, Report none	---	---	---	---	---	---
B. <i>Proposals Pending</i>						
1. List this proposal	---	---	---	---	---	---
2. Other pending proposals, including renewal applications	---	---	---	---	---	---
3. Proposals planned to be submitted in near future	---	---	---	---	---	---
II. (Name of co-principal investigator and/or faculty associate)	---	---	---	---	---	---
A.						
B.						
III. Transfer of Support						
If this project has previously been funded by another agency, please list and furnish information for immediately preceding funding period.	---	---	---	---	---	---
IV. (Other agencies to which this proposal has been/will be submitted)	---					

*Non-academic researchers may report percentage of effort using the first column only.

NATIONAL SCIENCE FOUNDATION Washington, D.C. 20550		FINAL PROJECT REPORT NSF FORM 98A			
PLEASE READ INSTRUCTIONS ON REVERSE BEFORE COMPLETING					
PART I—PROJECT IDENTIFICATION INFORMATION					
1. Institution and Address	2. NSF Program	3. NSF Award Number			
	4. Award Period From To	5. Cumulative Award Amount			
6. Project Title					
PART II—SUMMARY OF COMPLETED PROJECT (FOR PUBLIC USE)					
PART III—TECHNICAL INFORMATION (FOR PROGRAM MANAGEMENT USES)					
1. ITEM (Check appropriate blocks)	NONE	ATTACHED	PREVIOUSLY FURNISHED	TO BE FURNISHED SEPARATELY TO PROGRAM	
				Check (✓)	Approx. Date
a. Abstracts of Theses					
b. Publication Citations					
c. Data on Scientific Collaborators					
d. Information on Inventions					
e. Technical Description of Project and Results					
f. Other (specify)					
2. Principal Investigator/Project Director Name (Typed)		3. Principal Investigator/Project Director Signature		4. Date	

INSTRUCTIONS FOR FINAL PROJECT REPORT (NSF FORM 98A)

This report is due within 90 days after the expiration of the award. It should be submitted in two copies to:

National Science Foundation
Division of Grants and Contracts
Post-Award Projects Branch
1800 G Street, N.W.
Washington, D.C. 20550

INSTRUCTIONS FOR PART I

These identifying data items should be the same as on the award documents.

INSTRUCTIONS FOR PART II

The summary (about 200 words) must be self-contained and intelligible to a scientifically literate reader. Without restating the project title, it should begin with a topic sentence stating the project's major thesis. The summary should include, if pertinent to the project being described, the following items:

- The primary objectives and scope of the project.
- The techniques or approaches used only to the degree necessary for comprehension.
- The findings and implications stated as concisely and informatively as possible.

This summary will be published in an annual NSF report. Authors should also be aware that the summary may be used to answer inquiries by nonscientists as to the nature and significance of the research. Scientific jargon and abbreviations should be avoided.

INSTRUCTIONS FOR PART III

Items in Part III may, but need not, be submitted with this Final Project Report. Place a check mark in the appropriate block next to each item to indicate the status of your submission.

- a. Self-explanatory.
- b. For publications (published and planned) include title, journal or other reference, date, and authors. Provide two copies of any reprints as they become available.
- c. Scientific Collaborators: provide a list of co-investigators, research assistants and others associated with the project. Include title or status, e.g. associate professor, graduate student, etc.
- d. Briefly describe any inventions which resulted from the project and the status of pending patent applications, if any.
- e. Provide a technical summary of the activities and results. The information supplied in proposals for further support, updated as necessary, may be used to fulfill this requirement.
- f. Include any additional material, either specifically required in the award instrument (e.g. special technical reports or products such as films, books, studies) or which you consider would be useful to the Foundation.

U.S.-China Cooperative Science Program

Checklist for Proposal Submission

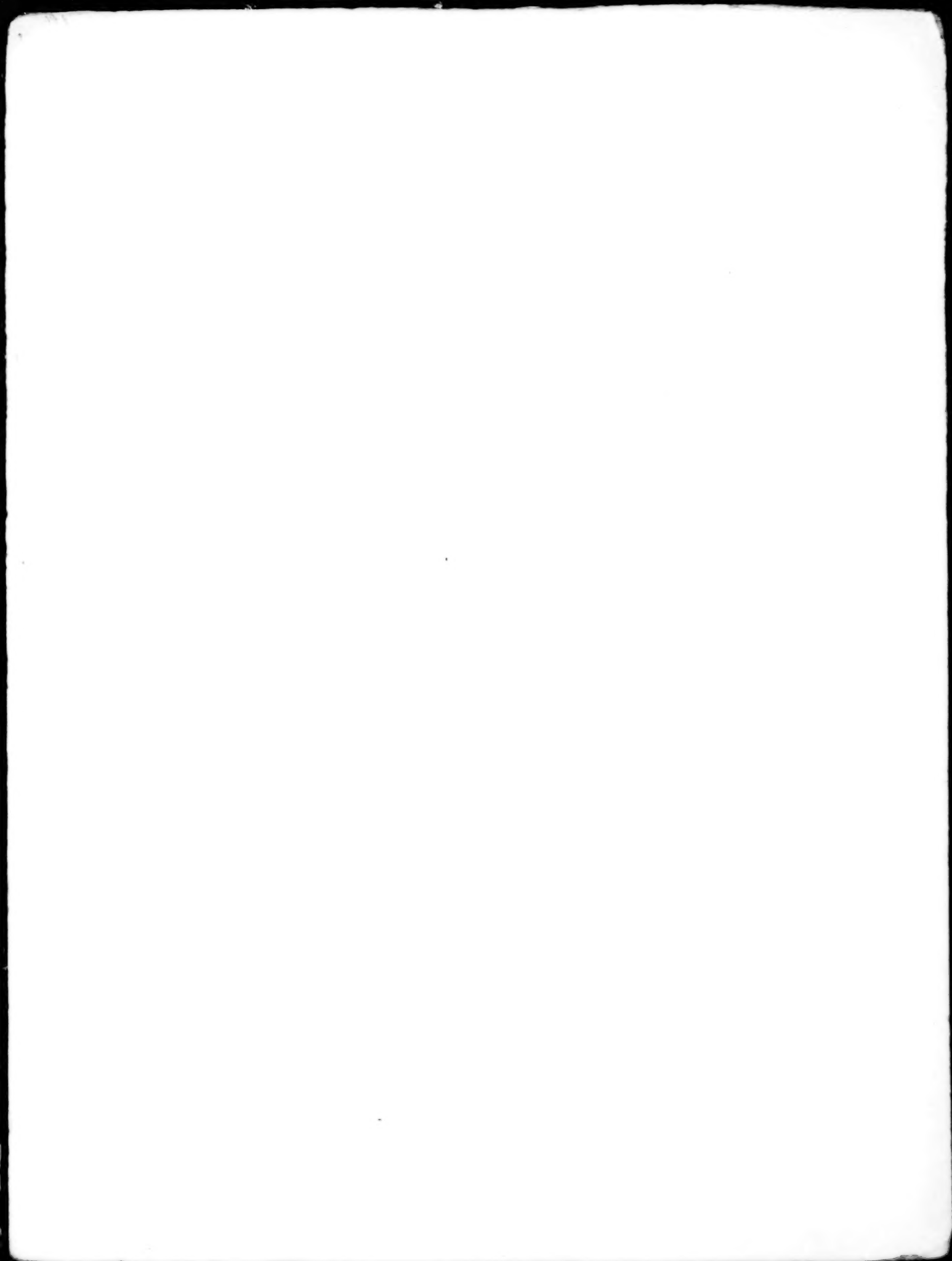
- ☐ Cover Page (use form provided)
- ☐ Principal Investigator's telephone number on Cover Page
- ☐ Required signatures on Cover Page
- ☐ Table of Contents
- ☐ Project Summary (use form provided/less than 200 words/intelligible to non-scientists)
- ☐ Budget on proper form with required signatures
- ☐ Vitae and current list of recent publications of senior personnel
- ☐ Chinese counterpart proposal, if available, collated in each proposal copy
- ☐ Ten copies of proposal, including original signed copy

For Cooperative Research Proposals

- ☐ Project Description
- ☐ Expected scientific and international benefits
- ☐ Information on previous professional visits to China and past cooperation with Chinese P.I.
- ☐ Current and pending support

For Joint Seminar Proposals

- ☐ Seminar description, including justification for international meeting and expected benefits
- ☐ Agenda
- ☐ Proposed U.S. and Chinese participants (expected attendees only)
- ☐ Dissemination of information



END

11-11-83